

SELF ASSESSMENTS & CERTIFICATIONS CHECKLIST SFY 06-07			
ACTION		Due Date Responsible	
1. Identify counties eligible to complete Certification and Audit Review Form County is eligible for certification unless: a) There were findings or questioned costs cited in the single audit for year ending June 30, 2005 or; b) The agency Director and /or fiscal officer have less than two years experience in that position or one or both positions are vacant, [on June 30, 2006] or, c) There were weaknesses reported on the Self Assessment survey with NO explanation of mitigating controls in place or a notation of planned changes. If any of the above conditions exist the county is required to submit a full self assessment until they meet all of the above requirements.		July 10, 2006 Lee/LBL's/James/Neil	
2a) Send email to all counties that are to complete Self assessments, Self Assessment Survey form. Remind counties of the due date. Encourage counties to complete electronically and to use the current Self Assessment attached to the email or downloaded from the website. 2b) Send email to all counties that are to complete Certifications, attach Certification form. Remind counties of the due date.		8/15/06 LBL 8/15/06 / LBL	
3.a) Completed Self Assessments Due to LBL 3.b) Certifications Due to LBL		October 31, 2006 October 31, 2006	
4.) On receipt of Self Assessment a) Review for completeness and Director Signature, all questions must be answered, YES, NA or NO b) Some internal controls are in the County Manager /Finance office, they should answer Yes or NA if a function is performed by another county agency c) Review to see if county included Mitigating controls for each "NO" answer, if not contact county for this and any other clarifications. (See 1c above) d) If sent electronically Flag until you get the signature sheet.		30 calendar days from receipt /LBL	
5). SARS (Filling out the self-assessment review form) a) LBL's should complete all cells in green. Date completed is the date the county completed the survey. b) Self Assessment Review Summary Document should be named; Alamance SARS 07 c) Self-Assessment Survey Document should be named; Alamance Self-Assessment Survey 07 d) File Complete Self Assessment or signature page if SA sent via email in Jane's office on 8th Floor Albemarle Building		30 calendar days from receipt /LBL	
		Next trip to Raleigh	
		LBL	
6a) On receipt of Certification of Self Assessment form, check for completeness, and Directors Signature. b) File the completed Certification of Self Assessment form in Jane's office on 8th Floor Albemarle Building.		Next trip to Raleigh LBL/ Monthly	
7) ALL Completed Self Assessment Review Summary (SARS) are to be sent to Lee, (copy James and Neil)		December 30, 2006 / LBL	
8). Forward SARS Summaries to Sections		10 calendar days /LQ	